| Electronic Acknowledgement Receipt   |   |  |  |  |
|--------------------------------------|---|--|--|--|
| EFS ID:                              | 6786960   |  |  |  |
| Application Number:                  | 09381243  |  |  |  |
| International Application Number:    |   |  |  |  |
| Confirmation Number:                 | 3704  |  |  |  |
| Title of Invention:                  | METHOD AND SYSTEM FOR ESTABLISHING, MONITORING, AND RESERVING A GUARANTEED MINIMUM VALUE RETURN ON SELECT INVESTMENTS |  |  |  |
| First Named Inventor/Applicant Name: | CHARLES R. HASKINS  |  |  |  |
| Customer Number:                     | 09629   |  |  |  |
| Filer:                               | Gerard Francis Diebner./Michelle Ekanemesang  |  |  |  |
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|---------------------------|--|--|-------------------------------------|---------------------|---------------------|
| 1                         | 09381243Responseto Final Offic<br>e Action.pdf   | 3054732                                      | yes                                 | 19                  |                     |
|                           |  | 985a9b61178f794c7b1e2798ce9bc7a1a44<br>88837 |                                     |                     |                     |
|                           | Multi  | part Description/PDF files in .              | zip description                     |                     |                     |
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|                           | Request for Continued Examination (RCE)          |  | 1                                   | 3                   |                     |
|                           | Extension of Time                                |  | 4                                   | 4                   |                     |
|                           | Amendment After Final                            |  | 5                                   | 5                   |                     |
|                           | Claims   |  | 6                                   | 12                  |                     |
|                           | Applicant Arguments/Remarks Made in an Amendment |  | 13                                  | 19                  |                     |
| Warnings:                 |  |  |                                     |                     |                     |
| Information:              |  |  |                                     |                     |                     |
| 2 Fee Worksheet (PTO-875) | fee-info.pdf                                     | 32906  | no                                  | 2                   |                     |
|                           |  | 55aedbd14dac0d8fdbc88fae8beed310597<br>4131b |                                     |                     |                     |
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## New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

### National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

### New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.